

FCC Ownership Disclosure Information for the Wireless Telecommunications Services

NOTICE TO INDIVIDUALS REQUIRED BY THE PRIVACY ACT OF 1974 AND THE PAPERWORK REDUCTION ACT OF 1995

We have estimated that each response to this collection of information will take on average 2 hours. Our estimate includes the time to read the instructions, look through existing records, gather and maintain required data, and actually complete and review the form or response. If you have any comments on this estimate, or on how we can improve the collection and reduce the burden it causes you, please write the Federal Communications Commission, AMD-PERF, Washington, DC 20554, Paperwork Reduction Project (3060-0799). We will also accept your comments via the Internet if you send them to jboley@fcc.gov. *Please do not send completed application forms to this address.*

You are not required to respond to a collection of information sponsored by the Federal government, and the government may not conduct or sponsor this collection unless it displays a currently valid OMB control number with this notice. This collection has been assigned OMB control number 3060-0799.

The FCC is authorized under the Communications Act of 1934, as amended, to collect the personal information we request in this form. We will use the information you provide to determine whether approving this application is in the public interest. If we believe there may be a violation or potential violation of a statute, FCC regulation, rule or order, your application may be referred to the Federal, state, or local agency responsible for investigating, prosecuting, enforcing or implementing the statute, rule, regulation or order. In certain cases, the information in your application may be disclosed to the Department of Justice or a court or adjudicative body when (a) the FCC; or (b) any employee of the FCC; or (c) the United States Government, is a party to a proceeding before the body or has an interest in the proceeding.

If you owe a past due debt to the Federal government, the Taxpayer Identification Number (*i.e.*, your Employer Identification Number or Social Security Number) and other information you provide may also be disclosed to the Department of Treasury Financial Management Service, other federal agencies and/or your employer to offset your salary, IRS tax refund or other payments to collect that debt. The FCC may also provide this information to these agencies through the matching of computer records when authorized.

In addition, all information provided in this form, except Taxpayer Identification Number, will be available for public inspection. If you do not provide the information we request on the form, the FCC may delay processing of your application or may return your application without action.

This notice is required by the Privacy Act of 1974, Public Law 93-579, December 31, 1974, 5 U.S.C. Section 552a(e)(3) and the Paperwork Reduction Act of 1995, Public Law 104-13, October 1, 1995, 44 U.S.C. 3507.



General Instructions

Purpose of form

The purpose of this form is to collect ownership data pertaining to the applicant for the proposed authorization. This data is used by the FCC to determine whether the public interest would be served by a grant of the requested authorization.

Who Must File FCC Form 602 and When

This form is required to be filed by applicants who have acquired their license by participation in an auction or who are applying for a license in a service which is subject to part 1, subpart Q of the Commission's Rules, or by common carrier licensees whether or not the service was originally subject to auction, under the following circumstances:

Applicants for a new license or authorization who do not have a current FCC Form 602 on file with the FCC.

Applicants filing to renew an existing license if there is no current FCC Form 602 on file with the FCC.

Applicants for a transfer of control of a license or assignment of an authorization who do not have a current FCC Form 602 on file with the FCC.

Applicants who are going to participate in an FCC auction and do not have a current FCC Form 602 on file.

Information Current and Complete

Information filed with the FCC must be kept current and complete. The applicant must notify the FCC regarding any substantial and significant changes in the information furnished in the application(s). See Section 1.65 of the Commission's rules. Persons filing this form will provide information on the main form regarding each person or entity that has a direct or indirect interest in the applicant or licensee that must be disclosed pursuant to the Commission's Rules.

Applicable Rules and Regulations

Applicants should obtain the relevant parts of the FCC's rules in 47 CFR. Copies of 47 CFR may be purchased from the Superintendent of Documents; Government Printing Office; Washington, DC 20402; (202) 512-1800. Refer also to the Government Printing Office's Website at <http://www.access.gpo.gov>. Some FCC rules require applicants to attach one or more exhibits to an application in addition to the information requested in the application form.

Processing Fee and Filing Locations

This form, if filed by itself, should be mailed to Federal Communications Commission, 1270 Fairfield Road, Gettysburg, PA 17325-7245. (If this application is filed as a result of an auction, please specify the Auction Number as indicated in your bidder's package.)

Packages

The Main Form responses for an applicant should be submitted as one package, stapled in the upper left corner. The Main Form response should be first, followed with all completed copies of Schedule A, attached in ascending order of ownership level.

Paper Copies

The number of paper copies of this application required to be filed is one original. Applicants filing electronically should follow procedures contained in online help files.

Exhibits

Each document required to be filed as an exhibit should be current as of the date of filing. Each page of every exhibit must be identified with the number or letter of the exhibit, the number of the page of the exhibit, and the total number of pages of the exhibit. If material is to be incorporated by reference, see the instruction on incorporation by reference.

Incorporation by Reference

You may incorporate by reference documents, exhibits, or other lengthy showings already on file with the FCC only if: the information previously filed is more than one 8½" by 11" page in length, and all information therein is current and accurate in all significant respects; the reference states specifically where the previously filed information can be found (*i.e.*, station call sign and application file number, title of proceeding, docket number and legal citations), including exhibit and page references. Use the relevant item number followed by 'A'. Items that call for numbers, or which can be answered 'Y' or 'N' or other short answers must be answered directly without reference to a previous filing.

For Assistance

For assistance with this application, contact the Federal Communications Commission, 1270 Fairfield Road, Gettysburg, PA 17325-7245, or call 1-888-CALL-FCC (225-5322).

Electronic Filers

For technical assistance with filing electronically, contact the Wireless Telecommunications Bureau Technical Support line, (202) 414-1250.

Instructions for FCC 602 Main Form

The purpose of Form FCC 602 is to obtain the identity of the applicant and to elicit information required by Section 1.2112 of the Commission's rules regarding: 1) persons or entities holding a 10% or greater direct or indirect ownership interest in the applicant; 2) all affiliates of the applicant pursuant to Section 1.2110; 3) all general partners in any general partnership in the applicant's chain of ownership, and; 4) all the members of any limited liability corporation in applicant's chain of ownership. A "direct owner" is a person holding an immediate interest in the applicant. An "indirect owner" of the applicant is any other interest holder in the applicant who holds a 10% or greater interest as defined in Section 1.2112(a)(9) through an intervening entity or entities in an ownership chain.

For each direct and indirect owner, the applicant must provide the information required by Item 4 of the main form. Filers will be required to provide information for each direct and indirect owner, using multiple copies of Form 602 as needed.

Example: Company A's stock is owned by two persons: Jane Smith owns 40% of the outstanding stock and Company B owns 60% of the outstanding stock. Each of these persons is a direct owner and Item 4 would be separately filled out for each. Company B is in turn owned by John and Jane Doe, 50%, and by Mega Corporation, 50%. John and Jane Doe and Mega Corporation are indirect owners of the applicant. Item 4 would be separately filled out for these three persons as well. Mega Corporation is in turn owned by Richard Mega, who holds 90% of the outstanding stock, and Peter Smith, who holds 10% of the outstanding stock. Because Mega indirectly owns more than 10% of Company A, information regarding Mega must be provided in response to Item 4. However, because Smith's indirect ownership share of Company A is less than 10%, the applicant is not required to provide information regarding Smith.

►Applicant/Licensee Information

Items 1 and 2 This Item identifies the applicant/licensee. If the applicant/licensee is an individual, enter the name of the individual in Item 1. If the applicant/licensee is an entity, enter the name of the entity in Item 2.

Item 3 Enter the applicant/licensee Taxpayer Identification Number. For individuals, enter the Social Security Number. For all other filers, enter the Employer Identification Number. This data is required to comply with the Debt Collection Improvement Act of 1996. This information will not be made available for public inspection.

►Related FCC-Regulated Businesses of Applicant/Licensee

Item 4 For the applicant/licensee, list any FCC-regulated business 10 percent or more of whose stock, warrants, options, or debt securities are owned by such person or entity. In Item 4(a) identify the name and address and, in 4(b), the principal nature of the FCC-regulated business. In Item 4(c), identify the Taxpayer Identification Number for the FCC regulated-business listed in Item 4(a). For individuals, enter the Social Security Number. For all other entities, enter the Employer Identification Number. This data is required to comply with the Debt Collection Improvement Act of 1996. This information will not be made available for public inspection. In Item 4(d), identify the percentage interest held in the FCC-regulated business by the applicant/licensee.

►Signature

Item 5 These items must be completed. To be acceptable for filing, applications and amendments must be signed in accordance with Part 1 of the FCC rules. The signor must be a person authorized to sign the application. Paper originals of applications must bear an original signature. On paper originals, neither rubber-stamped nor photocopied signatures are acceptable

Appendix I

STATE TABLE

Abbreviations for States, Jurisdictions, and Areas

AL	Alabama	NJ	New Jersey
AK	Alaska	NM	New Mexico
AZ	Arizona	NY	New York
AR	Arkansas	NC	North Carolina
CA	California	ND	North Dakota
CO	Colorado	OH	Ohio
CT	Connecticut	OK	Oklahoma
DE	Delaware	OR	Oregon
DC	District of Columbia	PA	Pennsylvania
FL	Florida	RI	Rhode Island
GA	Georgia	SC	South Carolina
GM	Gulf of Mexico	SD	South Dakota
HI	Hawaii	TN	Tennessee
ID	Idaho	TX	Texas
IL	Illinois	UT	Utah
IN	Indiana	VT	Vermont
IA	Iowa	VA	Virginia
KS	Kansas	WA	Washington
KY	Kentucky	WV	West Virginia
LA	Louisiana	WI	Wisconsin
ME	Maine	WY	Wyoming
MD	Maryland	AS	American Samoa
MA	Massachusetts	GU	Guam
MI	Michigan	UM	Midway Island
MN	Minnesota	MP	Northern Mariana Islands
MS	Mississippi	PR	Puerto Rico
MO	Missouri	VI	Virgin Islands
MT	Montana	UM	Wake Islands
NE	Nebraska		
NV	Nevada		
NH	New Hampshire		

Instructions for FCC 602 Schedule A

►Disclosable Interest Holders in Applicant/Licensee (repeat for each interest holder identified)

These items provide required information about each disclosable interest holder in the applicant. If the applicant has multiple disclosable interest holders, FCC 602 Schedule A must be filled out separately for each disclosable interest holder.

Disclosable interests in the applicant are defined at Section 1.2110 and 1.2112 of the Commission's rules. The following interest holders must be identified in items 3-11:

- (1) Any party holding a 10 percent or greater interest in the applicant, whether direct or indirect. An indirect ownership interest in the applicant is established where successive multiplication of ownership percentages for each link in the vertical ownership chain equals 10 percent or more of the applicant, except that if the ownership percentage for an interest in any link in the chain exceeds 50 percent or represents actual control, it shall be treated and reported as if it were a 100 percent interest.
- (2) Any party holding 10 percent or more of any class of stock, warrants, options, or debt securities of the applicant.
- (3) Any party with a controlling interest in the applicant as set forth in section 1.2110 of the Commission's rules. The individual or entity with a controlling interest is an "affiliate." An affiliate is defined by Section 1.2110(4)(l) of the Commission's rules, which provides that an individual or entity is an affiliate of an applicant or of a person holding an attributable interest in an applicant if such individual or entity --
 - (A) directly or indirectly controls or has the power to control the applicant, or
 - (B) is directly or indirectly controlled by the applicant, or
 - (C) is directly or indirectly controlled by a third party or parties that also controls or has the power to control the applicant, or
 - (D) has an "identity of interest" with the applicant.Section 1.2110(4)(ii) states that every business concern is considered to have one or more parties who directly or indirectly control or have the power to control it. Control may be affirmative or negative and it is immaterial whether it is exercised so long as the power to control exists.
- (4) In the case of a general partnership, each general partner, regardless of percentage interest in the applicant.
- (5) In the case of a limited partnership, each limited partner whose direct or indirect interest in the applicant is equal to or greater than 10 percent (as calculated according to the percentage or equity paid in and the percentage of distribution of profits and losses).
- (6) In the case of a limited liability corporation, each member of the corporation, regardless of percentage interest in the applicant.

For each disclosable interest holder, the following information must be provided:

Items 1 and 2 This Item identifies the interest holder. If the interest holder is an individual, enter the name of the individual in Item 1. If the interest holder is an entity, enter the name of the entity in Item 2.

Item 3 Taxpayer Identification Number of the interest holder listed in Item 1 or 2. For individuals, enter the Social Security Number. For all other filers, enter the Employer Identification Number. This data is required to comply with the Debt Collection Improvement Act of 1996. This information will not be made available for public inspection.

Item 4 Address of the interest holder. Refer to FCC 602 Main Form Instructions, Appendix I, for a list of valid state, jurisdiction, and area abbreviations.

Item 5 Type of interest in applicant. Indicate, using the 1 letter code, which of the following categories describes the interest holder's interest in the applicant. If more than one category applies, indicate each applicable category:

- D - Direct ownership interest in applicant
- I - Indirect ownership interest in applicant
- O - Officer
- R - Director
- K - Key management personnel
- M - Management contract
- O - Other

Item 6 Type of entity. Indicate, using the 1 letter code, which of the following categories describes the interest holder:

- I - Individual
- C - Corporation
- G - General Partnership
- L - Limited Partnership
- M - Limited Liability Corporation
- U - Unincorporated Association
- O - Other

Item 7 Percentage interest in applicant. Where the interest holder holds an ownership interest in the applicant, whether direct or indirect, identify the ownership percentage. Indirect interests may be calculated using a multiplier only in compliance with Section 1.2112(a)(9) of the Commission's rules.

Item 8 Type of ownership interest. Where the interest holder holds an ownership interest in the applicant, whether direct or indirect, identify, using the 1 letter code, the type of ownership interest. Also indicate whether the interest is voting or non-voting. If more than one category applies, indicate each applicable category:

- C - Common stock
- P - Preferred stock
- S - Other stock
- W - Warrant
- T - Option
- R - Proprietorship
- G - General Partnership shares
- L - Limited Partnership shares
- O - Other

Example: In the example given in the "Main Form" section above, each of the persons in the chain of ownership of Company A would list "common stock" as their ownership type.

Item 9 Identify the interest holder's country of citizenship.

Item 10 If the interest holder holds an indirect ownership interest in the applicant, list the entities in the ownership path in ascending order.

Example: In the example given in the "Main Form" section above, John and Jane Doe would list Company B, through which they hold their interest in the applicant, Company A. Richard Mega would first list Company B and then Mega Corporation, through which it holds its interest in Company B. Jane Smith would not be required to respond to this item because she holds a direct ownership interest in Company A.

►Related FCC-Regulated Businesses of Disclosable Interest Holders (repeat for each interest holder identified)

Item 11 For each officer, director, attributable stockholder, or key management personnel of the applicant identified in Items 1 or 2 of the FCC 602 Main Form, list any FCC-regulated business 10 percent or more of whose stock, warrants, options, or debt securities are owned by such person or entity. In Item 11(a) identify the name and address and, in 11(b), the principal nature of the FCC-regulated business. In Item 11(c), identify the Taxpayer Identification Number for the FCC regulated-business listed in Item 11(a). For individuals, enter the Social Security Number. For all other entities, enter the Employer Identification Number. This data is required to comply with the Debt Collection Improvement Act of 1996. This information will not be made available for public inspection. In Item 11(d), identify the percentage interest held in the FCC-regulated business by the person or entity identified in Item 1 or 2 of FCC 602 Schedule A.

Applicant/Licensee Information

1) First Name (if individual):	MI:	Last Name:	Suffix:
2) Applicant Name (if entity):			3) Applicant TIN:

Related FCC Regulated Businesses of Applicant/Licensee

4a) Name and address of all FCC Regulated Businesses owned by Applicant/Licensee (use additional sheets, if necessary):	4b) Principal Business:	4c) TIN:	4d) Percent of Interest Held:

Signature

5) Typed or Printed Name of Party Authorized to Sign

First Name:	MI:	Last Name:	Suffix:
Title:			
Signature:			Date:
Failure To Sign This Application May Result In Dismissal Of The Application And Forfeiture Of Any Fees Paid			
WILLFUL FALSE STATEMENTS MADE ON THIS FORM OR ANY ATTACHMENTS ARE PUNISHABLE BY FINE AND/OR IMPRISONMENT (U.S. Code, Title 18, Section 1001) AND/OR REVOCATION OF ANY STATION LICENSE OR CONSTRUCTION PERMIT (U.S. Code, Title 47, Section 312(a)(1)), AND/OR FORFEITURE (U.S. Code, Title 47, Section 503).			

Schedule for Disclosable Interest Holders

Disclosable Interest Holder Information (complete as many as required to describe all disclosable interest holders)

1) Disclosable Interest Holder's First Name (if individual):	MI:	Last Name:	Suffix:
2) Disclosable Interest Holder's Name (if entity):		3) Disclosable Interest Holder's TIN:	
4) Disclosable Interest Holder's Address:			
5) Type of Interest in Applicant () (refer to Instructions for list)	6) Disclosable Interest Holder is a(n): () (refer to instructions for list of codes):	7) Percent of Interest Held in Applicant:	
8) Disclosable Interest Holder's Type of Ownership (refer to instructions for list):		9) Disclosable Interest Holder's Country of Citizenship:	
10) Relationship Description (if the disclosable interest holder is an indirect owner, list path of ownership from indirect owner to the applicant):			

Related FCC Regulated Businesses of Disclosable Interest Holders (repeat for each interest holder identified)

11a) Name and address of all FCC Regulated Businesses owned by Disclosable Interest Holder listed in #3 (use additional sheets, if necessary):	11b) Principal Business:	11c) TIN:	11d) Percent of Interest Held: